

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name,

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the claimed subject matter, for which a patent is sought on the invention entitled

CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM

the specification of which

☒ is attached hereto.
☐ was filed on _____ as
Application Serial No. _____ and was
amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
(Number)	(Country)	(Day/Mo./Yr. Filed)	Yes	No
(Number)	(Country)	(Day/Mo./Yr. Filed)	Yes	No
(Number)	(Country)	(Day/Mo./Yr. Filed)	Yes	No

33 MAY 11 1993

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

1-00
Full name of sole or first inventor

Norman R. Westfall

Inventor's signature

Norman R. Westfall

Date

4-1-93

Residence

36 Skyview Lane, Rochester, New York, 14625

Citizenship

U.S.A.

Post Office Address

36 Skyview Lane, Rochester, New York, 14625

Full name of second joint inventor, if any

Second inventor's signature

Date

Residence

Citizenship

Post Office Address



Applicant or Patentee: Norman R. Westfall
Serial or Patent No.: Not Yet Assigned
Filed or Issued: Concurrently Herewith
Title: CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))—INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office regarding the invention entitled CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM described in:

- ☒ the specification filed herewith.
☐ application serial number _____, filed _____
☐ patent number _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:*

- ☐ No such person, concern, or organization
☒ Persons, concerns or organizations listed below*

* Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME Caldwell Manufacturing Company
ADDRESS 2605 Manitou Road, Rochester, New York, 14692
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Norman R. Westfall

NAME OF INVENTOR Norman R. Westfall
Signature of inventor [Signature]
Date 4-1-93

NAME OF INVENTOR _____
Signature of inventor _____
Date _____

NAME OF INVENTOR _____
Signature of inventor _____
Date _____



Applicant or Patentee Norman R. Westfall
Serial or Patent No. Not Yet Assigned
Filed or Issued Concurrently Herewith
Title: CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Caldwell Manufacturing Company

ADDRESS OF SMALL BUSINESS CONCERN 2605 Manitou Road

Rochester, New York, 14692

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM by inventor(s) Norman R. Westfall described in

☒ the specification filed herewith

☐ application serial no. _____, filed _____

☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____

ADDRESS _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Norman R. Westfall

TITLE OF PERSON IF OTHER THAN OWNER Vice President

ADDRESS OF PERSON SIGNING Caldwell Manufacturing Company, 2605 Manitou Road,

Rochester, New York, 14692

SIGNATURE

Norman R. Westfall

DATE

4 - 1 - 93



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Norman R. Westfall
SERIAL NO: Not Yet Assigned
FILED: Concurrently Herewith
TITLE: CURL SPRING SHOE BASED WINDOW BALANCE SYSTEM

POWER OF ATTORNEY

Commissioner of Patents
and Trademarks
Washington, D. C. 20231

Dear Sir:

Caldwell Manufacturing Company, 2605 Manitou Road, Rochester, New York, 14692, as Assignee of the entire right, title, and interest to the above-identified U. S. patent application, by virtue of the accompanying assignment from the applicant(s) named in the application, hereby revokes all Powers of Attorney previously given and appoints the following attorneys/ agents to prosecute and transact all business in the Patent and Trademark Office connected therewith:

Eugene S. Stephens, Reg. No. 20,649
Thomas B. Ryan, Reg. No. 31,659
Morton A. Polster, Reg. No. 20,960

Please send correspondence to Eugene S. Stephens, at Eugene Stephens & Associates, 56 Windsor Street, Rochester, New York, 14605, phone (716) 232-7700. ✓

Respectfully submitted,
CALDWELL MANUFACTURING COMPANY

By:


Norman R. Westfall
Vice President

Dated:

4-1-93